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Approved for use through 08/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE apenwork Reduction Act of 1995, no persons are required to respond collection of information unless it displays a valid OMB control number. Application Number 10/648,548 TRANSMITTAL Filing Date August 25, 2003 FORM First Named Inventor David H. Small Art Unit 1645 (to be used for all correspondence after initial filing) **Examiner Name** Patricia Duffy, Ph.D. Attorney Docket Number 104664-50037 Total Number of Pages in This Submission **ENCLOSURES** (Check all that apply) After Allowance communication Drawing(s) to Technology Center (TC) Fee Transmittal Form Appeal Communication to Board Licensing-related Papers of Appeals and Interferences Fee Attached Appeal Communication to TC Petition (Appeal Notice, Brief, Reply Brief) Amendment/Reply Petition to Convert to a Proprietary Information After Final Provisional Application Power of Attorney, Revocation Status Letter Change of Correspondence Address Affidavits/declaration(s) Other Enclosure(s) (please Terminal Disclaimer Identify below): Extension of Time Request 1) Power of Attorney and Correspondence Address Indication Request for Refund **Express Abandonment Request** 2) Statement Under 37 (SB/96)3) Copy of Assignments CD, Number of CD(s) 4) Return Receipt Postcard Information Disclosure Statement Remarks Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm R. Hain Swope, Esq.; Registration No.: 24,864 Gibbons, Pel Deo, Dolan, Griffinger & Vecchione Individual name Signature Date CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Typed or printed name Rosaura Serrano Date Signature

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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to any management requil	ired to respend to a collection of inton	Mariou niness if mahina a
nder the Paparwork Reduction Act of 1995, no persons are regul	Application Number	10/648,548
POWER OF ATTORNEY	Filing Date	August 25, 2004
	First Named Inventor	David Henry Small
and	Title	Diagnostic test for Alzhelmor's Disease
ORRESPONDENCE ADDRESS INDICATION FORM	Art Unit	1645
	Examiner Name	Patricia Duffy, Ph.D.
	Ann au Dagket Number	104664-50037

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Practitioners associated with the Customer Number: OR	26345
Practitioner(s) named below:	
Name	Registration Number
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Telephone I am the: Applicant/inventor. Assignee of record of the entire interest. See 37 C Statement under 37 CFR 3.73(b) is enclosed. (Fo.	
SIGNATURE	of Applicant or Assignee of Record
Name POPESSOR EDWINA CORNIS	H
Signature Zol - Col - Co	Telephone 9905935/
1.000	
NOTE: Signatures of all the inventors or assignees of record of the forms if more than one signature is required, see below.*.	entire interest or their representative(s) are required. Submit multiple
*Total of forms are submitted.	and by the secured to obtain or retain a benefit by the public which is to file (and by the

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, Any comments including gathering, preparing, and submitting the completed application form to the USPTO. The will vary depending upon the individual case, Any comments on the dispersion of the preparing, and submitting the complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent of the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent of the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer. U.S. Patent of the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer. U.S. Patent of the Chief Information of the Chief Inform

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

From-Gibbons Deldeo Dolan 12:38pm

PTO/SB/86 (08-03)

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Under the Paperwork Wood	NT UNDER 37 CFR 3.73(b)
	<u> </u>
pplicant/Patent Owner: Monash University	August 25, 2004
oplication No./Patent No.: 10/648,548	Filed/Issue Date: August 25, 2004
Diagnostic test for Alzheimer's Disease	
Monash University	a University (Type of Assigned, e.g., corporation, partnership, university, government agency, etc.)
Name of Assignee)	(Type of vestiling) oils, each
states that it is: 1. 🖸 the assignee of the entire right, title, and intere	st, or
2. an assignee of less than the entire right, title are The extent (by percentage) of its ownership intended in the patent application/patent identified above by visit	rtue of either:
 An assignment from the inventor(s) of the pate in the United States Patent and Trademark Offi attached. 	ent application/patent identified above. The assignment was recorded ent application in the assignment was recorded entering e
OR	list the current assignee as shown
below:	ont application/patent identified above, to the current assignee as shown University of Melbourne, Australia
From: The document was recorded in the Uni Frame	ited States Patent and Trademark Office at, or for which a copy thereof is attached.
I UB COOMISSING AND LOCAL WAR	To: Axonyx, Inc. (50% Interest) ited States Patent and Trademark Office at , or for which a copy thereof is attached.
a Emm. Axonyx, Inc.	To: University of Melbourne (See
The document was recorded in the Un	ited States Patent and Trademark Office at or for which a copy thereof is attached.
Additional documents in the chain of ti	itle are listed on a supplemental sheet.
Copies of assignments or other documents in the NOTE: A separate copy (i.e., the original assignment be submitted to Assignment Division in accorded in the records of the USPTO. See MF	ne chain of title are attached. gnment document or a true copy of the original document) ccordance with 37 CFR Part 3, if the assignment is to be PEP 302.08]
The undersigned (whose title is supplied below) is	authorized to act on behalf of the assignee. REFESSOR EDINING CORNISH
% AUGUST 2004	Typed or printed name
Date	John of plants
(03) 9905 9301	Signature
Telephone number	OFFICE CHANCELOR
	Title (RESEARCH)

This collection of information is required by 37 CFR 3.73(b). The information is required to citain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments including gathering, preparing, and submitting the completed application for reducing this burden, should be sent to the Chief information Officer, U.S. Patent on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Tracement Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

From-Gibbons Deldeo Dolan



Applicant/Patent Owner: Monash University			
Application No./Patent No.: 10/648,548 Filed/Issue Date: August 25, 2004			
Entitled: Diagnostic test for Alzheimer's Disease			
Monash University (Name of Assignce) a University (Type of Assignce, e.g. corporation, partnership, university, government agency, etc.)			
SUPPLEMENTAL SHEET			

B. A ch current assignee	ain of title from the inventor as shown below:	or(s), of the patent application/patent identified above, to the	е
4. Fron	a: University of Melboum	neTo: Monash University	_
Th	e document was recorded	in the United States Patent and Trademark Office at	
Re		or for which a copy thereof is attached	ı

ASSIGNMENT

For value received, we DAVID HENRY SMALL of Ashburton, Victoria, Australia, having an address of 35 Munro Avenue, Ashburton, Victoria 3147 AUSTRALIA, and JAVIER SAEZ-VALERO of Elche Spain, having an address of C/Ayora 3, 2° pta. E, Elche 03203 (Alicante) SPAIN hereby sell, assign and transfer to the UNIVERSITY OF MELBOURNE of Melbourne, Australia, having an address of Victoria 3010 AUSTRALIA, and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to

DIAGNOSTIC TEST FOR ALZHEIMER'S DISEASE

described in a United States application for Letters Patent that was filed on April 7, 2000 and assigned an Application Number of 60/195,231, and all of the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to UNIVERSITY OF MELBOURNE the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize UNIVERSITY OF MELBOURNE to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of UNIVERSITY OF MELBOURNE to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to UNIVERSITY OF MELBOURNE in the United States and to UNIVERSITY OF MELBOURNE in all countries foreign to the United States, or to such nominees as it may designate.

We agree that, when requested, we shall, without charge to UNIVERSITY OF MELBOURNE but at its expense, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents or other forms of protection.

IN W	ITNESS WHEREOF,	We have hereunto signed our names on the
<u>20</u> da	y of Jone	, 2000.
Mitness 0	ner-ages	David Henry Small
Witness		Javier Saez-Valero
Witness		Javici Sacz- vaicio

ASSIGNMENT

For value received, we DAVID HENRY SMALL of Ashburton, Victoria, Australia, having an address of 35 Munro Avenue, Ashburton, Victoria 3147 AUSTRALIA, and JAVIER SAEZ-VALERO of Elche Spain, having an address of C/Ayora 3, 2° pta. E, Elche 03203 (Alicante) SPAIN hereby sell, assign and transfer to the UNIVERSITY OF MELBOURNE of Melbourne, Australia, having an address of Victoria 3010 AUSTRALIA, and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to

DIAGNOSTIC TEST FOR ALZHEIMER'S DISEASE

described in a United States application for Letters Patent that was filed on April 7, 2000 and assigned an Application Number of 60/195,231, and all of the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to UNIVERSITY OF MELBOURNE the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

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We agree that, when requested, we shall, without charge to UNIVERSITY OF MELBOURNE but at its expense, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents or other forms of protection.

IN WITNESS WHEREC	OF, We have hereunto signed our names on the
21 day of June	2000.
Witness	David Henry Small
to to to	Hier his
Carmen De Felipe	(July)
Witness	Jakrier Sáez-Valero

CONFIRMATORY ASSIGNMENT I

This Assignment is made effective on 1 April 2001 between the University of Melbourne, having an address of Victoria 3010 Australia and having a place of business at Grattan Street, Parkville, Victoria 3052, Australia (hereinafter referred to as the "Assignor") and the Axonyx, Inc., a corporation incorporated in the State of New York, having an office at 825 Third Avenue, New York, New York 10022 (hereinafter referred to as the "Assignee").

WHEREAS:

The Assignor was the registered proprietor of the invention described and/or claimed in United States Provisional Patent Application 60/195,231 entitled DIAGNOSTIC TEST FOR ALZHEIMER'S DISEASE as a result of Assignments dated June 20, 2000 and June 21, 2000 and which is the subject of this Assignment.

On 1 April 2001 Assignee was desirous of acquiring and Assignor agreed to assign a 50% share in the property.

The Parties hereto had agreed as of April 1, 2001 that fifty percent 50% of the entire right, title and interest in all inventions described and/or claimed in United States Provisional Patent Application 60/195,231 ("Subject Inventions") including the right to claim priority and the right to any corresponding national or international patent applications filed thereon which claims priority based upon Provisional Patent Application 60/195,231, which applications include United States Patent Application 09/829,446 and International Patent Application PCT/US01/11654 both filed 9 April 2001 and to any and all patents that may be granted thereon and any and all reissues and extensions of such patents should be transferred by the Assignor to the Assignee on the terms set forth herein.

Assignor acknowledges and concurs with the fact that Assignee caused International Application No. PCT/US01/11654 to be filed on the Subject Invention in Assignee's sole name on 9 April 2001 and that Assignee caused Assignor to be added as an applicant in said International Application September 30, 2002.

As part of the agreement between the parties made effective on 1 April 2001 the assignment included the following terms:

- 1) It was agreed that effective 1 April 2001 (pursuant to the foregoing and in consideration of \$1 and for other good and valuable consideration the receipt and sufficiency of which is acknowledged), the Assignor as proprietor assigned, transferred and set over to the Assignee, effective as of 1 April 2001, fifty percent (50%) of all Assignor's rights, title and interest in the Subject Invention.
- 2) It was agreed that the Assignor undertakes at the expense of the Assignee to execute all documents that may be required in order to confer fifty percent (50%)

of all its rights, title and interest in the subject invention and the patent application derived therefrom to the Assignee.

It was also agreed that effective 1 April 2001 the Assignor authorised the Assignee to make and file all patent applications for the Subject Invention for such protection in Assignee's own name and maintain such protection in any and all countries foreign to the United States including said International PCT/US01/11654 Application and to invoke and claim for any such application for patent or other form of protection for said Subject Inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions or agreements.

IN WITNESS WHEREOF this document is executed to provide written confirmation of the terms agreed between the parties and made effective on 1 April 2001 for and on behalf of the University of Melbourne in the presence of a notary.

Signed at Mubourne Date: 11 June 2004	
by:	Name: me Dean Proporty
ATTEST: VINCENT FOSEPH FO	
On this 1/th day of fine francis	20 % before me, a notary public, s gentle Depuly being by me duly sworn ared and authorized to sign on behalf of the

Notary Public

Acknowledgment of Acceptance:

The Assignee, Axonyx, Inc., hereby acknowledges that it had accepted, effective as of 1 April 2001, the assignment of fifty percent of all right, title and interest in the above-named patent application from the University of Melbourne, and in and to any and all patents that may be granted thereon and any and all reissues and extensions of such patents.

Signed at New York, New York	For and on beliatisse B. Bruinsma MD Axonyx, Inc. President & COO Axonyx Europe Name: Middelstegracht 87H 2312 TT LEIDEN The Netherlands
United States of America) State of New York) ss. County of New York)	; ;
appeared	, 2004, before me, a notary public, personally, who, being by me duly sworn under oath did ized to sign the foregoing instrument on behalf of ution of the same.
	Notary Public

Seen for legalisation of the signature of mr. Gosse Bote Bruinsma, residing at (2311 XD) Leiden (The Netherlands), Bilderdijkstraat 9, date of birth the twenty-ninth day of October nineteen hundred and fifty-four at Thessalon (Canada), by me mr. Rob Willem Boudewijn Timmers, civil-law notary according to Dutch law, practising at Lisse (The Netherlands) on the twentieth day of September

two thousand and four.

4780405 v)

PATENT ASSIGNMENT II

This Assignment is made effective on 1 October 2002 between Axonyx, Inc., a corporation incorporated in the State of New York, having an office at 825 Third Avenue, New York, New York 10022 (hereinafter referred to as the "Assignor").and the University of Melbourne, having an address of Victoria 3010 Australia and having a place of business at Grattan Street, Parkville, Victoria 3052, Australia (hereinafter referred to as the "Assignee").

WHEREAS:

By assignments dated June 20, 2000 and June 21, 2000, all rights, title and interest to the invention described and claimed in US Provisional Application 60/195,231, **DIAGNOSTIC TEST FOR ALZHEIMER'S DISEASE** and US Patent Application 09/829,446, **DIAGNOSTIC TEST FOR ALZHEIMER'S DISEASE** (hereinafter "Subject Applications") including the rights, title and interest to all applications in throughout the world claiming the priority of one or more subject Applications such as International Application PCT/US01/11654, were assigned to the Assignee, the University of Melbourne.

WHEREAS:

By an assignment dated April 1, 2001, the Assignee, the University of Melbourne, assigned fifty percent (50%) of all of the rights, title and interest assigned above, to Assignor Axonyx, Inc. in the Assignment dated June 20, 2000 and June 21, 2000.

WHEREAS:

The Assignor, Axonyx, Inc., now wishes to assign all of its right, title and interest back to the Assignee, the University of Melbourne, and the Assignee, the University of Melbourne, is willing to accept this Assignment.

NOW THIS ASSIGNMENT WITNESSETH as follows:

- In pursuance of this Assignment and for good and valuable consideration paid by the Assignee to the Assignor, the receipt of which is hereby acknowledged, the Assignor effective as of 1 October 2002, assigns all its rights, title and interest in the Subject application, the Assignee, the University of Melbourne.
- The Assignor hereby undertakes at the expense of the Assignee to execute all documents that may be required in order of all its rights, title and interest in the subject invention and the patent application derived therefrom to the Assignee.
- The Assignor hereby authorizes the Assignee to make all patent applications for the subject invention for such protection in its own name and maintain such protection in any and all countries foreign to the United States including said International PCT Application and to invoke and claim for any such application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions or agreements.

#639795 v1 009621-39701

4) This Assignment shall be interp	oreted according to the laws of the State of New Jersey.
IN WITNESS WHEREOF these present behalf of the Axonyx, Inc. in the presen	ts are executed with effect from 1 October 2002 for and on ce of a notary.
Signed at Seattle, Wash Date: November 6, 2	oo 2
	For and on behalf of Axonyx, Inc. By: Mame: M. Axel R. Especial Title: Vice 8 sesi cloud & General Comsel
United States of America)	Comse
State of Withington) ss.:	
County of King)	
State of Withington) ss.: County of King) On this oth day of Michig Espy, to me known to be instrument, and acknowledged executions.	notary Public , 20 12, before me personally came personally came on of the same. PUBLIC Notary Public , 20 12, before me personally came personally came on of the same. PUBLIC Notary Public , 20 20 20 20 20 20 20 20 20 20 20 20 20
Acceptance and Acknowledgment:	OF WASHING
all right, title and interest in the above- that may be granted thereon and any a	Melbourne, hereby accepts the assignment of fifty percent of named patent application, and in and to any and all patents and all reissues and extensions of such patents.
Signed at Corllon	Date: August 7th 2003
	By:
On this 7th day of Aufur	Level 2 - 18/21 WALLEPLACE Sourd, 1, 2003, before me, a notary public, personally , who, being by me duly sworn under oath did say, zed to sign on behalf of the University of Melbourger
,	Notary Public

This Assignment shall be interpreted according to the laws of the State of New Jersey.

DEED OF ASSIGNMENT

PATENTS AND PATENT APPLICATIONS

This Deed of Assignment is made the LT day of JUNE 2004.

BETWEEN

THE UNIVERSITY OF MELBOURNE, Grattan Street, Parkville 3052, Victoria, Australia (the "Assignor")

and

MONASH UNIVERSITY, Wellington Road, Clayton 3800, Victoria, Australia (the "Assignee")

BACKGROUND

- A. The Assignor is the proprietor of the patents and patent applications set out in the Schedule (the "Patent Property"), and the inventions the subject of these.
- B. The Assignor and the Assignee have entered into an agreement whereby the Assignee has agreed to make certain payments to the Assignor's creditors.
- C. In consideration of the Assignee's payment of certain amounts to creditors of the Assignor, and for other good and valuable consideration, the Assignor has agreed to assign the Patent Property to the Assignee on the terms of this Deed.

IT IS NOW AGREED AS FOLLOWS:

- 1. In consideration of the sum of the payment made by the Assignee in accordance with clause 4.1 of the said Agreement and of the contingent payment referred to in section 4.2 of the said Agreement, the Assignor HEREBY ASSIGNS to the Assignee:
 - all right, title and interest in and to the Patent Property and to the inventions the subject of the Patent Property;
 - all equivalent, divisional and continuation applications relating to or arising out of the Patent Property (including any national phase entries arising from the European and Patent Co-operation Treaty patent applications within the Patent Property); and the right to file equivalent, divisional or continuation applications on it.
- 2. The rights assigned in Clause 1 above include the right to take action in respect of any infringement of any patents within the Patent Property, or of any patents that may be granted on the applications within the Patent Property, which may have occurred prior to the date of this Deed.
- 3. Each party agrees (at its own cost unless otherwise agreed) to execute all documents and do all further acts as reasonably required from time to time by the other party to give full effect to the provisions of this Deed.
- 4. This Deed shall be governed by and construed in accordance with the laws of the State of Victoria in the Commonwealth of Australia.
- 5. Several copies of this Assignment may be executed by the parties, each of which shall be deemed to be an original which may be relied upon by either of the parties for any purpose.

The parties have shown their acceptance of the terms of this Deed by executing it below.

Schedule

The Patent Property

Patent Applications

Country Australia Japan Brazil United States of America United States of America United States of America United States of America Canada	Number 2001259046 2001-575224 PI-0109915-9 10/648,548 60/195,231 09/829,446 2,442,733	[]] [] []	Citle Diagnostic Test for Alzheimer's Disease
SIGNED, SEALED and DELIVER	ED as a Deed:		
EXECUTED on behalf of THE UN OF MELBOURNE by the person of and signature appears and who we has authority to bind THE UNIVER MELBOURNE and in the presence Witness Signature NEIL IRELAND Print Witness Name 567 CELLING ST, METO Print Witness Address	whose name varrants he RSITY OF e of:))))	Signature WFG Dear Print name & position MELLOURNE, VICTORIA Signed at LIT JUNE 2004 Date ORIA, MISTRALIA
EXECUTED by MONASH UNIVER by the person whose name and si appears and who warrants he has to bind MONASH UNIVERSITY ar presence of: Witness Signature Ixau Culcy Print Witness Name	gnature authority nd in the)	Signature ACFESSOR EDICINA (CANISH Print name & position DEPUTY VICE-CHANCELLOR (RESEARCH) MELROURNE, VICTORIA Signed at 16 JUNE 2004 Date
Cl- Manash University () Print Witness Address	ayiron. Vic. 3800	2	